

# SMALL ENTITY DECLARATION

APPLICANT OR PATENTEE KHOMUTOV, Alexei, et al. ATTORNEY'S  
 SERIAL NO. \_\_\_\_\_ ☐ PATENT NO. \_\_\_\_\_ DOCKET No. \_\_\_\_\_  
 FILED OR ISSUED \_\_\_\_\_  
 FOR "Novel derivatives of cyclodextrins"

I (we) hereby declare that I (we) am (are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 USC 41(a) & (b) to the U.S. Patent and Trademark Office.

## ☒ A. INDEPENDENT INVENTOR

I (we) qualify as a(n) independent inventor(s) as defined in 37 CFR 1.9(c).

## ☐ B. INDIVIDUAL NON-INVENTOR

I would qualify as an independent inventor as defined in 37 CFR 1.9(c) if I had made the invention.

## ☐ C. SMALL BUSINESS CONCERN

I am ☐ THE OWNER ☐ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 CFR 1.9(d) and 13 CFR 121.3-18. Rights under contract or law have been conveyed to and remain with the concern and are exclusive unless a checkmark is placed here ☐ and another Declaration on behalf of another entity is filed herewith.

## ☐ NON-PROFIT ORGANIZATION

I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 CFR 1.9(e), sub-section: ☐ (1) ☐ (2) ☐ (3) ☐ (4). Rights under contract or law have been conveyed to and remain with the organization and are exclusive unless a checkmark is placed here ☐ and another Declaration on behalf of another entity is filed herewith.

I (we) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I (we) hereby declare that all statements made herein of my (our) own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

## A. INDEPENDENT INVENTOR(S) B. INDIVIDUAL NON-INVENTOR(S)

KHOMUTOV, Alexei

Name of Inventor

*Alexei Khomutov*  
Signature

18/9/00  
Date

YAKOVLEV, Dmitry

Name of Inventor

*Dmitry Yakovlev*  
Signature

09/11/00  
Date

KHOMUTOV, Radii

Name of Inventor

*Radii Khomutov*  
Signature

18/9/00  
Date

KORPELA, Timo

Name of Inventor

*Timo Korpele*  
Signature

4.09.00  
Date

# BIRCH, STEWART, KOLASCH & BIRCH, LLP

P.O. Box 747 • Falls Church, Virginia 22040-0747  
Telephone: (703) 205-8000 • Facsimile: (703) 205-8050

ATTORNEY DOCKET NO.

PLEASE NOTE:  
YOU MUST  
COMPLETE THE  
FOLLOWING:

## COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT AND DESIGN APPLICATIONS

As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated next to my name; that I verily believe that I am the original, first and sole inventor (if only one inventor is named below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**NOVEL DERIVATIVES OF CYCLODEXTRINS**

Insert Title:

the specification of which is attached hereto. If not attached hereto,

Fill in Appropriate  
Information —  
For Use  
Without  
Specification  
Attached:

the specification was filed on \_\_\_\_\_ as  
United States Application Number \_\_\_\_\_ ;  
and amended on \_\_\_\_\_ (if applicable); and/or  
the specification was filed on March 4, 1999 as PCT  
International Application Number PCT/FI99/00167 ; and was  
amended under PCT Article 19 on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I do not know and do not believe the same was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (six months for designs) prior to this application, and that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns, except as follows.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 (a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

### Prior Foreign Application(s)

### Priority Claimed

Insert Priority  
Information:  
(if appropriate)

<u>980489</u> ✓ (Number)	<u>Finland</u> ✓ (Country)	<u>3/4/1998</u> ✓ (Month / Day / Year Filed)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Month / Day / Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Month / Day / Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Month / Day / Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

Insert Provisional  
Application(s):  
(if any)

_____ (Application Number)	_____ (Filing Date)
_____ (Application Number)	_____ (Filing Date)

All Foreign Applications, if any, for any Patent or Inventor's Certificate Filed More than 12 Months (6 Months for Designs) Prior to the Filing Date of This Application:

Insert Requested  
Information:  
(if appropriate)

Country	Application Number	Date of Filing (Month / Day / Year)
_____	_____	_____
_____	_____	_____

I hereby claim the benefit under Title 35, United States Code, §120 of any United States and/or PCT application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States and/or PCT application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Insert Prior U.S.  
Application(s):  
(if any)

_____ (Application Number)	_____ (Filing Date)	_____ (Status — patented, pending, abandoned)
_____ (Application Number)	_____ (Filing Date)	_____ (Status — patented, pending, abandoned)

I hereby appoint the following attorneys to prosecute this application and an international application based on this application and to transact all business in the Patent and Trademark Office connected therewith and in connection with the resulting patent based on instructions received from the entity who first sent the application papers to the attorneys identified below, unless the inventor(s) or assignee provides said attorneys with a written notice to the contrary:

Raymond C. Stewart (Reg. No. 21,066)  
Joseph A. Kolasch (Reg. No. 22,463)  
Bernard L. Sweeney (Reg. No. 24,448)  
Charles Gorenstein (Reg. No. 29,271)  
Leonard R. Svensson (Reg. No. 30,330)  
Andrew D. Meikle (Reg. No. 32,868)  
Joe McKinney Muncy (Reg. No. 32,334)  
Donald J. Daley (Reg. No. 34,313)

Terrell C. Birch (Reg. No. 19,382)  
James M. Slattery (Reg. No. 28,380)  
Michael K Mutter (Reg. No. 29,680)  
Gerald M. Murphy, Jr. (Reg. No. 28,977)  
Terry L. Clark (Reg. No. 32,644)  
Marc S. Weiner (Reg. No. 32,181)  
John A. Castellano (Reg. No. 35,094)  
John W. Bailey (Reg. No. 32,881)

Send Correspondence to:

**BIRCH, STEWART, KOLASCH & BIRCH, LLP** or **Customer No. 2292**  
P.O. Box 747 • Falls Church, Virginia 22040-0747  
Telephone: (703) 205-8000 • Facsimile: (703) 205-8050

**PLEASE NOTE:  
YOU MUST  
COMPLETE  
THE  
FOLLOWING:**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of First or  
Sole Inventor:  
Insert Name of  
Inventor →

Insert Date This  
Document is Signed

Insert Residence  
Insert Citizenship →

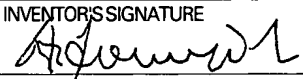


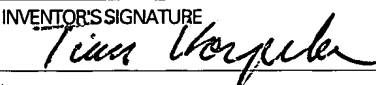
Insert Post Office  
Address →

Full Name of Second  
Inventor, if any:  
see above

Full Name of Third  
Inventor, if any  
see above

Full Name of Fourth  
Inventor, if any  
see above

Full Name of Fifth  
Inventor, if any  
see above

<b>GIVEN NAME</b> <u>Alexei</u>	<b>FAMILYNAME</b> <u>KHOMUTOV</u>	<b>INVENTOR'S SIGNATURE</b> 	<b>DATE*</b> <u>18/9/00</u>
<b>Residence (City, State &amp; Country)</b> <u>Moscow, Russian Federation Rux</u>		<b>CITIZENSHIP</b> <u>Russian</u>	
<b>POST OFFICE ADDRESS (Complete Street Address including City, State &amp; Country)</b> <u>Apartment 447, Lyusinovskaya Street 68</u> <u>Moscow, 113162, Russian Federation</u>			
<b>GIVEN NAME</b> <u>Dmitry</u>	<b>FAMILYNAME</b> <u>YAKOVLEV</u>	<b>INVENTOR'S SIGNATURE</b> 	<b>DATE*</b> <u>09/11/00</u>
<b>Residence (City, State &amp; Country)</b> <u>Lawrence, Kansas, U.S.A. KS</u>		<b>CITIZENSHIP</b> <u>Russian</u>	
<b>POST OFFICE ADDRESS (Complete Street Address including City, State &amp; Country)</b> <u>Apartment 46 833</u> <u>Profsoyusnaya Street 114-6, Moscow 117437, Russian Federation</u>			
<b>GIVEN NAME</b> <u>Radii</u>	<b>FAMILYNAME</b> <u>KHOMUTOV</u>	<b>INVENTOR'S SIGNATURE</b> 	<b>DATE*</b> <u>18/9/00</u>
<b>Residence (City, State &amp; Country)</b> <u>Moscow, Russian Federation Rux</u>		<b>CITIZENSHIP</b> <u>Russian</u>	
<b>POST OFFICE ADDRESS (Complete Street Address including City, State &amp; Country)</b> <u>Apartment 46, Profsoyusnaya Street 43-1</u> <u>Moscow, 117420, Russian Federation</u>			
<b>GIVEN NAME</b> <u>Timo</u>	<b>FAMILYNAME</b> <u>KORPELA</u>	<b>INVENTOR'S SIGNATURE</b> 	<b>DATE*</b> <u>4.09.00</u>
<b>Residence (City, State &amp; Country)</b> <u>Turku, Finland FIX</u>		<b>CITIZENSHIP</b> <u>Finnish</u>	
<b>POST OFFICE ADDRESS (Complete Street Address including City, State &amp; Country)</b> <u>Kasarminkatu 5 as 8, FIN-20500 Turku, Finland</u>			
<b>GIVEN NAME</b>	<b>FAMILYNAME</b>	<b>INVENTOR'S SIGNATURE</b>	<b>DATE*</b>
<b>Residence (City, State &amp; Country)</b>		<b>CITIZENSHIP</b>	
<b>POST OFFICE ADDRESS (Complete Street Address including City, State &amp; Country)</b>			

\* DATE OF SIGNATURE